

TITLE: CIB 89-21 M/AAA/SER, John F. Owens, Procurement Executive

AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C. 20523

August 21, 1989

MEMORANDUM TO ALL CONTRACTING OFFICERS AND NEGOTIATORS

TO: Distribution List D-14(LL)

FROM: M/AAA/SER, John F. Owens, Procurement Executive

CONTRACT INFORMATION BULLETIN 89-21

SUBJECT: Title XII Activities

This CIB provides guidance and information on various aspects of the Agency's Title XII programs; it supersedes and cancels CIB 87-31.

1. General

Background information regarding Title XII activities is available in AID Policy Determination #4 in AID Handbook 1. PD #4 is useful in determining which educational institutions and activities are authorized under Title XII.

2. Competition Requirements

a. The Deputy Administrator has determined that contracts with eligible Title XII institutions for activities authorized under Title XII may be awarded using other than full and open competition, pursuant to AIDAR 706.30270(b)(ii).

b. This determination is reflected in AIDAR 715.613-70(a), 715.613-71(a) and 706.302-70(b)(4).

3. The CO's Role in Title XII Selections -- General Procedure

The contracting officer's duties are specified in AIDAR 715.613-70. In summary, the contracting officer, or his/her representative:

a. Reviews the project officer's action request and in coordination with the project office, prepares the Request for Technical Proposals (RFTP). Insures that BIFAD participated in development of the source list.

b. Determines publication requirements.

c. Distributes the RFTP's.

d. Receives proposals, and transmits them to the evaluation committee.

e. Serves as a non-voting member of the evaluation committee, and insures that BIFAD has been offered the opportunity to serve as a non-voting member of the committee.

f. Insures that the selection memorandum is prepared as required by AIDAR 715.613-70(c) (5).

g. Promptly notifies unsuccessful offerors.

h. Conducts negotiations with the recommended institution(s).

4. The CO's Role in Title XII Selections -- Collaborative Assistance Procedure

The contracting officer's duties are specified in AIDAR 715.613-71. In summary, the contracting officer, or his/her representative:

a. Serves as a non-voting member of the evaluation panel, and insures that BIFAD has been offered the opportunity to serve as a non-voting member of the committee.

b. Reviews the evaluation panel memorandum to ensure that it complies with the requirements of AIDAR 715.613-71(e) (3). Insures that BIFAD participated in development of the source list.

c. In coordination with the project officer, prepares a request for expression of interest.

d. Determines publication requirements.

e. Distributes the request for expressions of interest to the institution(s) recommended by the evaluation panel.

f. Transmits any expression of interest received to the evaluation panel.

g. Receives and reviews the evaluation panel selection recommendation and file to ensure it complies with the requirements of AIDAR 715.613-71.

h. Conducts negotiations with the recommended institution(s).

5. BIFAD's Role in the Title XII Selection Process

a. Title XII of the Foreign Assistance Act is designed to increase the involvement of U.S. agricultural universities with A.I.D. in the area of international food, nutrition, and agricultural development. The Board for International Food and Agricultural Development (BIFAD) was established to assist in the administration of Title XII activities.

b. In accordance with Sec. 298(c) (2) of the Foreign Assistance Act, BIFAD has established a roster of universities and has developed data on their relative capability to design and implement programs in the various technical areas included in Sec. 103 of the Foreign Assistance Act.

c. BIFAD participates in the development of source lists of potential contractors, in collaboration with the project office, and a BIFAD representative normally serves as a nonvoting member of the selection panel.

d. For contracting actions being handled in field Missions, recommended source lists may be obtained from BIFAD through the A.I.D./W regional backstop office.

6. Mission Participation in Evaluation of Proposals

When A.I.D./W has been designated as the responsible contracting party, mission representatives and host country officials are always welcome to participate in A.I.D./W selection panel procedures.

7. Special Title XIII RFTP Evaluation Factors

Attached for reference is a self-explanatory memorandum from the Counselor to the Agency to all Mission Directors and Office Heads.

Attachment: a/s

AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C. 20523

July 17, 1987

COUNSELOR
TO THE AGENCY

MEMORANDUM FOR MISSION DIRECTORS AND OFFICE HEADS

SUBJECT: Title XII Procurement: Increasing the Emphasis on
University Commitment

Mission responses to last year's Title XII questionnaire identified university commitment as perhaps the key factor effecting Title XII success in institution building projects. In the response positive commitment was operationally characterized by such factors as:

- the willingness of the university to make overseas assignments attractive to their "best and brightest" faculty through incentives and promotion policies;

- the quality and timeliness of project backstopping and the willingness to devote personnel resources to become familiar with AID administrative, financial management and procurement regulations.

- effective university monitoring and evaluation processes for international programs;

- the inclusion of international development activities as an integral and recognized part of the university's priority programs;

- willingness to adapt normal university procedures to fit the unique requirements of overseas projects (e.g. delegation of operational authorities to the field chief of party).

The Administrator determined that these concerns about university commitment could best be addressed through a closer review of University practices and regulations during the Title XII procurement process. A.I.D. and BIFAD then agreed to the establishment of an Ad Hoc Committee on Title XII University Commitment and Performance (with A.I.D. representation) to review how "commitment" could be better assessed in the procurement process. At the completion of its deliberations that committee recommended that a document entitled "Basic Principles for College and University Involvement in International Development Activities," endorsed in 1983 by NASULGC (National Association of State Universities and Land Grant Colleges), be used by A.I.D. and universities as a common basis for determining the adequacy of university commitment. This action was supported by A.I.D. and endorsed by the BIFAD Board.

A copy of this document is attached and as you can see the basic principles A.I.D. also strongly supports. To help operationalize these principles within the context of AID procurement of Title XII services. Missions should consider referring specifically to this document in

future RFTPs. For example an RFTP might include the following language:

In 1983 the university community developed a statement of principles as a basis for involvement in international development activities. This statement was subsequently endorsed by the National Association of State Universities and Land Grant Colleges (NASULGC) and the Association of U.S. University Directors of International Agricultural Programs and published by NASULGC under the title, "Basic Principles for College and University Involvement in International Development Activities." Adherence and commitment to these "principles", as appropriate, will be utilized as a factor in assessing institutional capacity for proposals submitted for implementing this project; therefore proposals should contain a statement with supporting information on the institutions' position and commitment to the "principles."

In addition, Missions are encouraged to draw upon some (but obviously not all) of the many specific questions included in the document in formulating the text of the institutional capacity section of an RFTP. This should assist in eliciting specific information on university commitment that would be useful in carefully evaluating university proposals. Obviously, the desired level and demonstration of institutional commitment will be a matter for mission judgement in light of the particular Title XII services being procured (but is particularly important for institution building projects). For your information, BIFAD and NASULGC plan to have this 1983 document reissued and sent once again to Title XII institutions noting that AID Missions have been encouraged to refer to it in future Title XII procurements.

Marshall D. Brown
Counselor to the Agency

DISTRIBUTION:

AID List H &
Standard Mission List

Basic Principles for College and University Involvement in
International Development Activities

National Association of State Universities and Land-Grant Colleges

INTRODUCTION

In 1979, the National Association of State Universities and Land Grant Colleges adopted a "Statement of Principles for Effective Participation in International Development Activities. The main topics of the Statement are: 1) to provide guidance for maintaining and improving professional practices in international development activities to institutions already involved in such activities and, 2) to assist those institutions who are planning to be involved in international development activities as they prepare themselves for active participation. The present document is an elaboration of the original Statement and provides more detailed guidelines for internal self-study.

For the purpose of this document, the term "International Development Activities", considered in broad perspective, refers not only to contracting for and operation of technical assistance projects abroad, but also to the integration of international development activities into appropriate and relevant on-campus programs.

THE BASIC PRINCIPLES

Principle 1. Effective participation in international development activities requires a commitment by both administration and faculty.

Commitment, in this sense, means a deliberate and considered intent, plan, and effort to include international development activities as an integral and recognized part of the institution's ongoing programs. It means an intent to give administrative and policy support to development activities to the extent necessary to accomplish the same quality of performance as in domestic activities. This commitment should be evidenced, as appropriate, at each level in the university - the governing board, the central administration, the college, the department, and the individual faculty member.

Commitment implies a belief in the inherent value and importance of such activities, that they are worthy of scholarly endeavor, and that U.S. universities have unique capacities to contribute to U.S. and worldwide goals in development.

Such intents and beliefs are essential to the establishment of priorities. The assignment of resources, and the generation of sufficient determination to achieve the maximum performance on contracts, training programs and other development activities undertaken by the university.

Questions to ask regarding this principle include:

1. Has the governing board of the institution addressed the issue?
2. Have key administrators communicated their commitment clearly to all appropriate individuals on campus, and have they pursued strategies to make their commitment operational?

3. Within the past three years has the institution performed a systematic review of its priority and purpose in international activities?
4. Have departments identified development activities as an important component of their total programs?
5. Are financial and human resources, sufficient to support the level of involvement, specifically allocated to the support of development activities?
6. Is there a core of interested faculty, representing disciplines which are relevant and appropriate to international development.
7. Is there evidence that all appropriate sectors of the university are involved in development assistance activities.
8. Does the university provide positive recognition for high quality performance by faculty on international assignments.

Principle 2. Effective Involvement in international development activities should be consistent with the institution's mission, commitment, and competencies.

Since human resources available to any institution are limited, no institution can address adequately the full gamut of opportunities for involvement. Resources committed to activities that are contributory to the basic program(s) of the institution will be more productive and will yield more meaningful feedback. Activities consistent with the basic mission are more likely to be understood and supported both by the university and by its constituency.

Development activities demand a high degree of capability from well qualified professionals performing in a complex environment. Problems of development are exceedingly complex and their resolution requires the best of professional effort. Optimum results are possible only if competent personnel in adequate numbers are assigned to international development activities undertaken.

Questions to ask regarding this principle include:

1. Has the university established that consistency with its mission, commitment, and competencies is a criterion for involvement in international development activities?
2. Is there a procedure for evaluating contract opportunities in which this criterion of consistency is considered?
3. Is sufficient knowledge about mission, interest, competencies, etc. available to persons involved in choosing development activities in which to become involved?
4. Does the university have a programmatic base on campus for those activities it undertakes abroad?

Principle 3. Requisite key and supporting personnel resources must be available to assure effective, responsible and continuous involvement in each project undertaken.

The personnel in a development activity constitute the key to its success. Requisite personnel resources embody an adequate number of persons with specific qualifications for the task at hand.

In considering development activity opportunities, the university should recognize the advantage of obtaining the requisite personnel resources from its own faculty for any project it chooses to undertake. Nevertheless, the extent to which every project can be staffed fully from the institution's own faculty is limited.

The identification of project leadership, staffing of a majority of the key positions, and provision for adequate campus backstopping by appropriate qualified faculty are minimums for which to strive.

The assignment of well qualified professionals, from whatever source, for development positions is the primary goal. Collaboration of two or more universities through joint arrangements facilitates achievement of personnel goals appropriate to this principle. Questions to ask regarding this principle include:

1. To what extent have the university's own faculty been involved, past and present, in key project positions?
2. During the past three years, how often has the university provided all contract personnel from its own faculty? The majority? The chief of party?
3. To what extent is international interest and capability incorporated in faculty recruitment criteria?
4. What activities are in place to upgrade faculty capacity and interest in international activity?

Principle 4. Adequate incentives should exist to assure that high quality, professionally active faculty members become involved in development activities.

Incentives to faculty members include professional recognition, professional advancement, opportunities for professional growth, pursuit of research goals, salary increments directly associated with overseas assignments, and salary levels tied to the professional qualifications of each faculty member. Incentives in this context also include encouragement to the department to participate in the international activity and to support the participation of particular faculty members. Such incentives should be codified in personnel policies and practices and communication to the faculty and to departmental administrators.

These incentives are justified in that they are necessary to attract the professional expertise required in international activities. Well qualified, senior faculty can be attracted to these activities and away from other challenging opportunities within the institution only through meaningful incentives. Faculty members with

identified interest in international activities should receive as much incentive to work within the university as outside.

Questions to ask regarding this principle include:

1. To what extent is performance in international activity identified as a criterion for promotion, tenure, and salary increase?
2. Are international achievements given due value in promotion, tenure and salary increase decisions?
3. To what extent are these provisions formalized and recorded in written documents, and applied in practice?
4. To what extent are salary savings resulting from contract participation made available to departmental programs?
5. To what extent are incentives offered to departments to encourage faculty participation?
6. To what extent do existing policies and procedures provide faculty members with time to prepare for international assignments, and upon return, to incorporate the results of the experience into ongoing programs of the university?
7. Are the same administrative salary increments given for faculty assigned administrative and organizing responsibility in international activity as are given for similar domestic responsibilities?

Principle 5. Adequate and timely logistical support of and professional service to a faculty member or a team abroad requires special administrative policies and practices.

Logistical support includes such things as placing and managing participants in training programs, planning and managing predeparture activities for overseas personnel, purchase and shipment of commodities, and the management of personnel concerns such as salary, per diem, records, etc.

Professional services include backup and support of colleagues in whatever endeavor the overseas faculty member undertakes, and any other activity which contributes to professional growth while on duty abroad.

The extent to which an institution needs to make special provision for these services depends upon the level of involvement. Adequate provision is less expensive if an institution supplies only one or more faculty members in contrast to one that assumes leadership, either as a contractor or a lead in a multi-university project. Some universities prefer to supply faculty for projects in which another university has primary leadership and management responsibility. In such joint activities, the responsibility of each institution should be clearly defined.

By the nature of development activities, professionals on international assignment are somewhat isolated professionally, at least in comparison to their colleagues at home. A continuous flow of

up-to-date information about their profession and about their university improves productivity both through knowledge that there is a mechanism for keeping up to date, and through the usefulness of new information in the exercise of the job assignment. To provide this function well, the backup professional should be as knowledgeable of the international assignment as is the colleague on assignment.

Logistical support performed in the United States is beyond the control of the individuals abroad, yet impinges significantly on their performance level. It also has an effect on the image of the contracting institution that is held by the funding agency and the host country personnel and agencies. Such support should be anticipated and appropriated arrangements made to provide it.

Questions to ask regarding this principle include:

1. What are the administrative practices and policies at the institution for backstopping contract activities?
2. To what extent are these policies and practices codified, communicated, understood and practiced?
3. To what extent does flexibility make these policies adaptable to different types of contracts, to emerging exigencies, and to the inherent differences among countries in which project activities may be undertaken?
4. What provisions are made to maintain the professional currency of the faculty member assigned to international duty? (A specific faculty member identified for that purpose is one such provision.)
5. Does the contracting or lead institution require in the contract that sufficient time of faculty and other professionals be allocated to backstop the project with which it is involved?
6. Does the institution have sufficient financial management expertise and flexibility to satisfy adequately the needs of the project?
7. In general, are campus administrative personnel and mechanisms sensitive to the special requirements of international development projects?

Principle 6. Provision of adequate orientation and specialized training of project personnel is necessary, especially before departure for international assignments.

The object of this orientation and training should be to develop an understanding and appreciation of the setting in which the project is to be undertaken.

The nature of social, political and economic institutions and practices in developing countries is related to the culture of that country. The success of efforts to introduce innovation into these institutions or related to these practices is dependent to a considerable extent upon understanding the culture in which they operate. Language capability is especially important, in the

transmission of ideas and in the comprehension of institutions and practices of the country. The impact of such understanding and capability on the level of performance is obvious.

Questions to ask regarding this principle include:

1. Is there an established and clearly articulated policy which recognizes the importance of understanding the cultural, political, economic and physical environment in which the project will function, and which recognizes the understanding of that environment as a prerequisite to project success?
2. To what extent has the university considered the need to adapt to a different culture in the selection of project personnel?
3. To what extent is there comprehensive training and orientation for faculty which addresses all of these concerns before they go abroad with the project?
4. Does this orientation and training emphasize the important role of women in development?
5. Does the orientation and training give adequate attention to necessary aspects of the development process?
6. Does the university provide orientation and training for foreign nationals who come to the institution under the aegis of the project?
7. To what extent are lessons learned from previous experiences in international activities included in pre-departure orientation and training.
8. Is there a careful selection of faculty who are especially sensitive to cultural and environmental differences and who are able to learn on the job and adapt to new circumstances?
9. Are personnel selected who already have acquired such understanding through previous experience?

Principle 7. Teaching, research and public service activities of the university are enhanced by properly selected and executed international development activities, followed by appropriate integration efforts.

The fundamental reason for university involvement in international activities is that they relate and contribute to the basic mission of the university. The integration of an international dimension as reflected by the presence of international students and scholars and of faculty with overseas experience is important to provide a rounded and high quality educational experience to all students, and in the achievement of high quality research and extension programs. Establishing continuous relationships with counterpart institutions abroad is an important way to enhance fulfillment of the universal and worldwide mission of the university community, and is a desirable facet of any international activity undertaken.

The selection of projects that will contribute to the enhancement noted above is likely directly associated with superior performance in the execution of that project.

The extent to which experiences in previous international development activities are integrated into university programs and shared with other faculty will affect the capacity of the university to respond to future opportunities and the effectiveness of the university in execution of future activities.

Questions to ask regarding this principle include:

1. To what extent do university administration and policies encourage incorporation of experiences gained in international development activities into ongoing university programs?
2. To what extent have experiences gained from participation in international development projects been incorporated into university academic and research programs?
3. To what extent have faculty who have been involved in international development activities shared these experiences with their colleagues, and how?
4. Is there an organized effort to provide opportunities for faculty who have completed international assignments to share experiences through reports, specific assignments, time allocations, organized seminars, etc.?
5. To what extent has the university utilized international students on the campus to enrich the educational experience and growth of students and faculty through sharing their experiences and insights in an organized way?

Principle 8. Adequate and appropriate training for international students, particularly through contract training programs, depends on specially focused university policies and practices to deal with the students' unique needs and background, and the highly specialized requirements of the training program.

International students bring with them a varying mixture of cultural, personal, economic, and language characteristics. They come with different types of educational experiences. Their expectations may be substantially different from those of U.S. students. They may have little understanding of the student role as defined in the United States. They encounter special requirements related to matriculation, advising, programming, housing, etc. Their unique needs should be recognized by host universities, and procedures identified to deal with them in a systematic fashion.

Questions to ask regarding this principle include:

1. To what extent are the special needs of international students recognized in university policies procedures, curriculum and special programs?

2. Does the university have an appropriate structure and sufficient qualified personnel to assist international students appropriate to its level of involvement in providing training for such students?
3. Are faculty aware of the special needs of foreign students and are they willing to provide adequate advice?
4. Do the rules of the Graduate School allow flexibility in scheduling thesis research abroad?

Principle 9. Internal evaluation procedures are necessary to provide for continuous monitoring of activities, including international, and prompt adjustments when needed for international development activities.

In the execution of international development activities, a university faces a greater than normal risk in the possible mismatch of personnel with project goals, in error in planning and from unpredictable interruption and delay of project activity. The context in which an activity operates in a developing country changes over time. In addition, project progress may be less than adequate under these conditions, and replacement and or augmentation of project inputs identified in the original project design may be necessary. Personnel may need to be replaced.

For all these reasons, a specially designed procedure is necessary to monitor continuously the problems encountered, the accomplishments achieved, and new elements in the project environment, and to adjust objectives and procedures to maximize progress toward established goals.

Questions to ask regarding this principle include:

1. Is project evaluation and monitoring identified and provided for in established policies and procedures for international activities?
2. To what extent does the institution establish effective monitoring and evaluation processes for it's international development projects?
3. To what extent does the institution exhibit willingness to cooperate with other agencies and in situations involved in monitoring and evaluation procedures?
4. To what extent does the institution respond to findings of monitoring and evaluations by adjusting inputs or activities?
5. Are all elements of the project monitored and evaluated including backstopping, pre-departure orientation and training, and financial management?

Prepared by the International Affairs Committee of the National Association of State Universities and Land-Grant Colleges endorsed by the Association Executive Committee May 17, 19 . Endorsed by the Association of U.S. University Directors of International Agricultural Programs (AUSUDIAP) June 23, 1983.

UNITED STATES INTERNATIONAL DEVELOPMENT COOPERATION AGENCY
AGENCY FOR INTERNATIONAL DEVELOPMENT
WASHINGTON, D.C. 20523

AID/W General Notice
M/PM/TD
December 19, 1983

Issue Date: 12-22-83

SUBJECT: Funding Language Testing and Training Costs for Contractor Personnel

Bureau/Office/Mission Project Officers are reminded that the M/PM/TD budget does not include funds for foreign language training and testing of contractor and PASA/RSSA personnel. Funding for such costs must be included in the PIO/T which initiates the contracting or grant process. The M/PM/TD Language Office will assist AID project and Contracting Officers with information on training and testing costs as well as with other aspects of the Foreign Language Program. In addition, the Language Office will schedule both training and testing for contracted personnel provided the procedures outlined below are followed.

- A. FSI Proficiency Testing for Contractor-Nominated Personnel
Memorandum from the Contract Officer to M/PM/TD which provides:
1. Name of individual(s) to be tested
 2. Designated language
 3. Dates available for testing
 4. Funding citation (Allotment, Appropriation and Obligating Document Number)

B. Language Testing/Training of Contractor Nominees

Memorandum from Contract or Project Officer to PM/TD which provides:

1. Name of contract employee (Contract, PASA, RSSA, Grant,
2. Designated language and proficiency required
3. Dates available for testing and/or training
4. Funding citation (Allotment, Appropriation and Obligating Document Number)
5. Completed AID Form 4-470, Application for Language Training (if training is requested)

The Language Office has been receiving numerous calls from outside firms, universities, etc., regarding the language program and costs, and with frequent request for enrollment and support services. In view of funding and support implications, future calls will be referred to the Project Officer. Contract and Project Officers should not refer such calls to the Language Office.

DISTRIBUTION:

AID List H, Position 5 (Circulate 1 copy for every 3 employees)